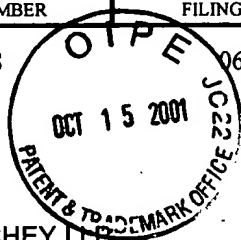




UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/892,708	06/26/2001	Jose Joaquin Garcia-Luna- aceves	UC2000-380-2



John P. O'Banion,
O'BANION & RITCHEY LLP
Suite 1550
400 Capitol Mall
Sacramento, CA 95814

CONFIRMATION NO. 4694

FORMALITIES LETTER



OC000000006429518

Date Mailed: 08/15/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$538.
 - \$378 for 21 total claims over 20.
 - \$160 for 2 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1378.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/17/2001 CCHRU1 00000054 09892708
01 FC:201 370.00 BP
02 FC:203 189.00 BP
03 FC:202 84.00 BP
04 FC:205 65.00 BP

PATENT

Docket No.: UC2000-380-2

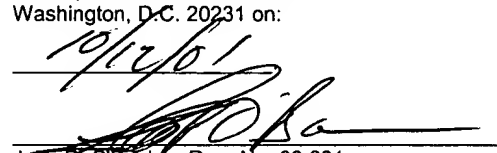
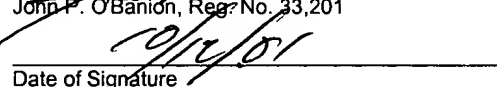


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: JOSE JOAQUIN GARCIA-LUNA-ACEVES; HANS-PETER DOMMEL
Serial No.: 09/892,708
Filed: JUNE 26, 2001
For: MULTISITE COORDINATION IN SHARED MULTICAST TREES
Group:
Examiner:

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:


John P. O'Banion, Reg. No. 33,201

Date of Signature

BOX MISSING PARTS
Assistant Commissioner for Patents
Washington, D.C. 20231

**SUBMISSION OF MISSING PARTS OF APPLICATION
UNDER 37 C.F.R. § 1.53**

Dear Sir:

In response to the Notice to File Missing Parts of Application (PTO-1533) mailed August 15, 2001, a copy of which is enclosed, please find the following documents which are incorporated by reference herein:

1. Combined Declaration and Power of Attorney;
2. Power of Attorney by Assignee and Exclusion of Inventor(s) Under 37 C.F.R. 3.71;
3. Assignee Certification Under 37 C.F.R. 3.73(b);
4. Request for Corrected Filing Receipt;
5. Check in the amount of \$708 (\$643 filing fees and \$65 surcharge for the fees due as a small entity);

6. Assignment Cover Letter;
7. Assignment;
8. Check in the amount of \$40 (assignment recording fee).

The amount due for the filing fees and surcharge has been computed as follows:

CLAIMS AS FILED									
Number filed			Number Extra			Rate		Basic Fee	
								\$ 740.00	
Total									
Claims 37 CFR 1.16(c)	41	- 20	=	21	X	\$18.00	=	378.00	
Independent									
Claims (37 CFR 1.16(b))	5	- 3	=	2	X	\$84.00	=	168.00	
Multiple dependent claim(s), if any (37 CFR 1.16(d))					+	\$280.00	=		
Filing Fee Calculation								\$	1,286.00
Surcharge								\$	130.00
TOTAL FILING FEE								\$	1,416.00

Small Entity Statement(s)

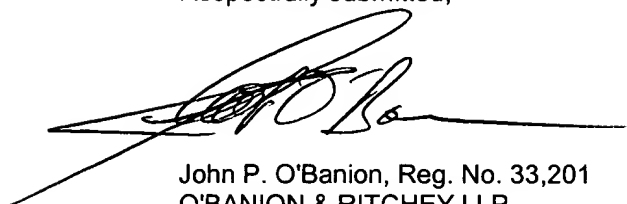
<u>X</u>	Applicant qualifies as a small entity under 37 CFR 1.9 and 1.27.	
	Filing Fee Calculation (50% of above)	\$ 708.00
	Amount already paid	LESS (\$)
	TOTAL FILING FEES DUE	\$ 708.00
<u>X</u>	Assignment recording fee	\$ 40.00
—	Petition fee	\$ 0
	TOTAL FEES DUE	\$ 748.00

Please charge any additional fees due to deposit account no. 07-1137.

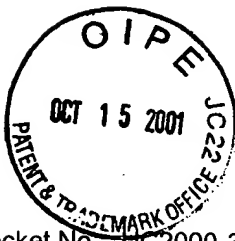
Having now complied with all of the requirements of 37 C.F.R. 1.53, the Applicants respectfully request that this application be placed upon the files for examination.

Dated: 10/12/01

Respectfully submitted,

A handwritten signature in black ink, appearing to read "John P. O'Banion", with a long horizontal line extending to the right.

John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010



#3
PATENT

Docket No.: UC2000-380-2

Applicant or Patentee: JOSE JOAQUIN GARCIA-LUNA-ACEVES; HANS-PETER DOMMEL
Serial or Patent No.: 09/892,708
Filed or Issued: JUNE 26, 2001
For: MULTISITE COORDINATION IN SHARED MULTICAST TREES
Group:
Examiner:

ASSIGNEE CERTIFICATION UNDER 37 C.F.R. 3.73(b)

In accordance with 37 C.F.R. 3.73(b), the assignee hereby certifies that the evidentiary documents with respect to its ownership have been reviewed and that, to the best of the assignee's knowledge and belief, title is in the assignee seeking to take this action.

Dated: August 1, 2001

ASSIGNEE: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

Signature: Linda S. Stevenson

Typed Name: Linda S. Stevenson

Title: Manager, Patent Prosecution
Office of the President
University of California
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)

Applicant(s): JOSE JOAQUIN GARCIA-LUNA-ACEVES ET AL.

Docket No.

UC00-380-2

Serial No.

09/892,708

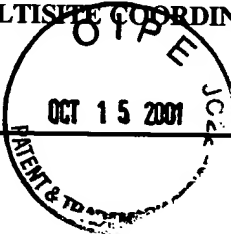
Filing Date

JUNE 26, 2001

Examiner

Group Art Unit

Invention: MULTISITE COORDINATION IN SHARED MULTICAST TREES

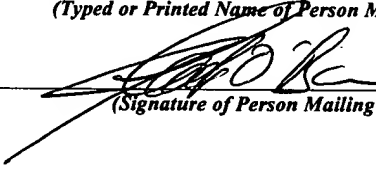


I hereby certify that this Assignee Certification (Page 1)
(Identify type of correspondence)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The
Assistant Commissioner for Patents, Washington, D.C. 20231 on 10/2/01
(Date)

JOHN P. O'BANION

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)**Note: Each paper must have its own certificate of mailing.**

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)

Applicant(s): JOSE JOAQUIN GARCIA-LUNA-ACEVES ET AL.

Docket No.

UC00-380-2

Serial No.

09/892,708

Filing Date

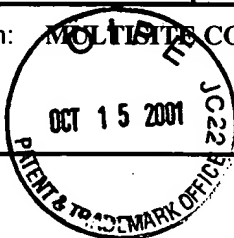
JUNE 26, 2001

Examiner

Group Art Unit

2152

Invention: MULTISITE COORDINATION IN SHARED MULTICAST TREES

I hereby certify that this Notice to file missing parts of nonprovisional application (Page 1)

(Identify type of correspondence)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The

Assistant Commissioner for Patents, Washington, D.C. 20231 on

(Date)

JOHN P. O'BANION

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

Note: Each paper must have its own certificate of mailing.



PATENT

Applicant: JOSE JOAQUIN GARCIA-LUNA-ACEVES; HANS-PETER DOMMEL
Serial No.: 09/892,708
Filed: JUNE 26, 2001
Title: MULTISITE COORDINATION IN SHARED MULTICAST TREES
Group:
Examiner:
Docket No.: UC2000-380-2

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

9/12/01
John P. O'Banion, Reg. No. 33,201
9/12/01
Date of Signature

**Assistant Commissioner for Patents
Washington, D.C. 20231**

REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir:

The Applicant respectfully requests a corrected Filing Receipt. The present Filing Receipt (a copy of which is attached as Exhibit A) has the names of the inventors misspelled. As shown on Page 1 of the New Application Transmittal (Exhibit B) and on Page 4 of the New Application Transmittal (Exhibit C), the correct spelling of the inventor's names are as follows: Jose Joaquin Garcia-Luna-Aceves and Hans-Peter Dommel. Applicant respectfully requests that a corrected Filing Receipt be issued to reflect the correct spelling of the inventor's names.



Dated: _____

10/12/01

Respectfully submitted,

John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010

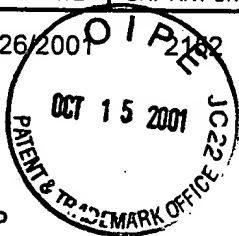


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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/892,708	06/26/2001	2182	0.00	UC2000-380-2	2	41	5

John P. O'Banion,
O'BANION & RITCHEY LLP
Suite 1550
400 Capitol Mall
Sacramento, CA 95814



CONFIRMATION NO. 4694

FILING RECEIPT



OC000000006429517

Date Mailed: 08/15/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jose Joaquin Garcia-Luna-aceves, Sam Mateo, CA;
Hans-peter Dommel, Santa Cruz, CA;

Assignment For Published Patent Application

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/214,327 06/27/2000

Foreign Applications

If Required, Foreign Filing License Granted 08/15/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

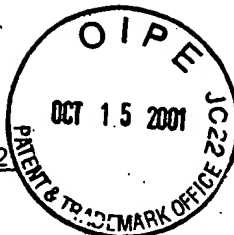
Non-Publication Request: No

Early Publication Request: No

Title

Exhibit A

Attorney's Docket No. UC2000-380-2



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application

Assistant Commissioner for Patents

Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):

JOSE JOAQUIN GARCIA-LUNA-ACEVES; HANS-PETER DOMMEL

For (title):

MULTISITE COORDINATION IN SHARED MULTICAST TREES

1. Type of Application

This new application is for a(n):

- ☒ Original (nonprovisional)
- ☐ Design
- ☐ Plant
- ☐ Divisional
- ☐ Continuation
- ☐ Continuation of PCT designating US
- ☐ Continuation-in-part (CIP)

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date JUNE 26, 2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL484718704US addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

John P. O'Banion

(Type or print name of person mailing paper)

(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein has the number of the "Express Mail" label placed thereon prior to mailing. 37 CFR 1.10(b).

EL484718704US

NOTE: "In addition, the prior application must be (1) complete as set forth in § 1.51, or (2) entitled to a filing date as set forth in § 1.53(b) and include the basic filing fee set forth in § 1.16, or (3) entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(f) within the time set forth in § 1.53(d)." 37 CFR 1.78(a).

NOTE: "Any nonprovisional application claiming the benefit of one or more prior filed copending provisional applications must contain or be amended to contain in the first sentence of the specification following the title a reference to each such prior provisional application, identifying it as a provisional application, and including the provisional application number (consisting of the series code and serial number) and filing date." 37 CFR 1.78(a)(4).

NOTE: "Any nonprovisional application claiming the benefit of one or more prior filed copending nonprovisional applications or international applications designating the United States of America must contain or be amended to contain in the first sentence of the specification following the title a reference to each such prior application, identifying it by application number (consisting of the series code and serial number) and filing date or international application number and international filing date and indicating the relationship of the applications. Cross-references to other related applications may be made where appropriate. (See §1.14(b))." 37 CFR 1.78(2).

X Applicant(s) hereby claim(s) the benefit of the filing date of prior U.S. Application Serial No. 60/214,327 filed on JUNE 27, 2000.

(a) Application History (title as originally filed and as last amended, serial number, and filing date of all prior applications):

Title: GROUP COORDINATION PROTOCOL FOR NETWORKED
MULTIMEDIA SYSTEMS
Ser. No.: 60/214,327
Filed: JUNE 27, 2000

(b) Name of applicant(s) (as originally filed and as last amended), and current correspondence address of applicant(s):

Name: JOSE JOAQUIN GARCIA-LUNA-ACEVES
Address: 82 LAKEWOOD CIRCLE
SAM MATEO, CALIFORNIA 94402

Name: HANS-PETER DOMMEL
Address: 513 OCEAN VIEW AVENUE
SANTA CRUZ, CALIFORNIA 95062

NOTE: The proper reference to a prior filed PCT application which entered the U.S. national phase is the U.S. serial number and the filing date of the PCT application which designated the U.S.

NOTE: (1) Where the application being transmitted adds subject matter to the International Application then the filing can be as a continuation-in-part or (2) it is desired to do so for other reasons, then the filing can be as a continuation.

NOTE: The deadline for entering the national phase in the U.S. for an international application was clarified in the Notice of April 28, 1987 (1079 O.G. 32 to 46) as follows:

"The Patent and Trademark Office considers the international application to be pending until the 22nd month from the priority date if the United States has been designated and no Demand for International Preliminary Examination has been filed prior to the expiration of the 19th month from the priority date and until the 32nd month from the priority date if a Demand for International Preliminary Examination which elected the United States of America has been filed prior to the expiration of the 19th month from the priority date, provided that a copy of the international application has been communicated to the Patent and Trademark Office within the 20 or 30 month period respectively. If a copy of the international application has not been communicated to the Patent and Trademark Office within the 20 or 30 month period, respectively, the international application becomes abandoned as to the United States 20 or 30 months from the priority date, respectively. These periods have been placed in the rules as paragraph (h) of § 1.494 and paragraph (i) of § 1.495. A continuing application under 35 U.S.C. 365(c) and 120 may be filed anytime during the pendency of the international application."